

Douglas County
Internal Audit Division (DCIAD)

Audit of
Douglas County
Emergency Management Agency
FY 2007/2008 #01

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Douglas County Internal Audit Division

Mr. Paul W. Johnson
1819 Farman, Civic Center
EOC, Room #114
Omaha, Nebraska 68183

October 26, 2007

Dear Mr. Johnson,

We have audited the Douglas County Emergency Management Agency. The period of the audit was July 1, 2006 through June 30, 2007. The audit was conducted in accordance with Standards for the Professional Practice of Internal Auditing (Institute of Internal Auditors); *except Standards 1310-1 through 1312-2.*

Such standards require we plan and perform our audit to adequately assess those operations which are included in our audit scope. The audit included; examining the design, and operating effectiveness, of internal controls relating to department operations and the grant process; reviewing the Local Emergency Operation Plan for compliance with applicable federal and state regulations; and performing procedures we considered necessary to support report findings and recommendations.

The purpose of this report is to describe the results of our testing, including internal controls and compliance, and not to provide an opinion on the internal controls or compliance.

We would like to thank you, and your staff, for your cooperation and assistance during this audit.

Carmen Harmon

Ms. Carmen Harmon
Internal Audit Division, Supervisor

Glossary of Acronyms

DCEMA- Douglas County Emergency Management Agency

DCIAD- Douglas County Internal Audit Division

EOC- Emergency Operating Center

EPCRA- Emergency Planning and Community Right to Know Act

HSAA- Homeland Security Administering Agency

HSGP- Homeland Security Grant Programs

LEOP- Local Emergency Operating Plan

LEPC- Local Emergency Planning Committee

M & A- Management and Administration

MOU- Memorandum of Understanding

NEMA- Nebraska Emergency Management Agency

NIMS- National Incident Management System

ODP- Office of Domestic Preparedness

OMMRS- Omaha Metro Medical Response System

POC- Point of Contact

SAA- State Authorizing Agency

SARA- Superfund Amendments and Reauthorization Act

SERC- State Emergency Response Committee

SHSAS- State Homeland Security Assessment and Strategy

UASI- Urban Area Security Initiative

Audit 2007/2008-01
DCIAD Audit of Douglas County
Emergency Management

Introduction

The primary responsibility for the safety and welfare of residents of Douglas County and its communities rests with the elected officers of local governments.¹ To fulfill that responsibility the chief elected officials of the various local governments must individually, and when practicable jointly, implement plans to ensure proper emergency actions are taken in a timely manner and provide care, and support, to those citizens affected.

The Douglas County Emergency Management Director, appointed by the Douglas County Board of Commissioners, acts as a disaster operations advisor to the Board, and directs the management of the Douglas County Emergency Management department.

Scope

The scope for the Emergency Management Audit included, but was not limited to, the following key areas:

- Review the design and operating effectiveness of internal controls relating to the grant process
- Determine if the Local Emergency Operations Plan (LEOP) adequately addresses federal and state regulations, and best practice guidelines, according to our research
- Determine if implementation of the Local Emergency Operations Plan (LEOP) is adequate according to the above guidelines

The audit was conducted in accordance with the Institute of Internal Auditor (IIA) standards; except Standards 1310-1 through 1312-2, relating to peer review. Such standards require that we plan and perform the audit to adequately assess those operations which are included in our audit scope. Further, these standards require that we understand the Douglas County Emergency Management (DCEMA) internal control structure and its compliance with those laws, rules, and regulations that are relevant to the operations which are included in our audit scope. An audit includes, on a test basis, evidence supporting transactions reported in the accounting and operating records and applying such other audit procedures as we consider necessary. We believe our audit provides a reasonable basis for our findings, conclusions, and recommendation.

¹ (Neb. Rev. § 81.829.46)

Background

Nebraska State law declares, "*Each county may maintain a county emergency management organization which shall be the primary organization for emergency management for that county.*"² *Each city, village, county or interjurisdictional emergency management organization, if formed, shall have either (a) a full-time director or (b) a full-time deputy director and such additional personnel as may be needed, appointed in accordance with the agreement establishing the organization.*³

Douglas County has a residential population of approximately 492,003 residents.⁴ Preparedness is the main responsibility of the Douglas County Emergency Management Agency (DCEMA).⁵ The agency is responsible for developing and maintaining the Douglas County Local Emergency Operations Plan (LEOP), which serves as a template for responses to a wide variety of threats, and files plans for the Omaha Metropolitan Medical Response System (OMMRS), Hazard Analysis for Douglas County, and many other support agencies.

The Douglas County Emergency Management agency maintains an Emergency Operations Center (EOC) located underground in the lowest level of the Civic Center. The EOC was built in 1975 after an F4 tornado struck the city of Omaha, causing widespread damage, and officials determined existing facilities were insufficient to handle a major disaster.⁶

The EOC has a communications room, to facilitate effective communications during an emergency incident, with the capability to communicate locally, statewide, or worldwide. The communications room provides designated areas for local emergency response entities (Police, Fire, Sheriff, media, etc.) and, according to the DCEMA website, up to two hundred and forty people can work out of the EOC during a disaster incident; including local elected officials who need to participate in an emergency response operation.

The Douglas County Emergency Operations Center is a two-story facility with just less than 25,000 square feet of operating space. On the first floor of the EOC there are numerous offices, a backup facility for the 911 Call Center, and the communications room.

According to the DCEMA website, the EOC is self-supporting and has back-up electrical power, a medical unit, full kitchen and sleeping dormitories for extended operations.

DCEMA also monitors the warning siren system. A \$21 million dollar bond issue was used to pay for the construction and acquisition of a new public safety communications system consisting of transmitters and receivers, as well as a new system of warning sirens.⁷

Emergency Management Response

The draft audit states that after 9/11, the majority of Homeland Security funds were expended to finance communications and incident response equipment, but a substantial amount of funds were provided to OMMRS, nationally recognized for its initiatives and a primary player

² Neb. Rev. § 81-829.46, Subsection (1)

³ Neb. Rev. §81-829.46, Subsection (3)

⁴ <http://quickfacts.census.gov/qfd/states/31/31055.html>

⁵ www.co.douglas.ne.us/dept/emergency/about/about.htm

⁶ DCEMA website

⁷ Douglas County 2005 Comprehensive Annual Financial Report, page 24

representing all responders to disaster with on-going committees addressing all emergency issues, not just medical. A portion of the voter approved bond issue was not to establish a new system of warning sirens but to replace and add a siren system.

DCIAD Response

Information about the siren system was acquired from the 2005 Douglas County Comprehensive Annual Financial Report, as noted in the footnote on page 6 of this audit.

FENVAL

Internal Controls – Policy and Procedures

Agency internal controls should be designed to provide reasonable assurance regarding the effectiveness and efficiency of operations, the reliability of financial reporting and agency compliance with applicable laws and regulations.

The control environment sets the tone of an organization and formalizes the way management assigns authority and responsibility. Control activities are the policies and procedures that help ensure management directives are carried out. They include a range of activities as diverse as approvals, authorizations, verifications, reconciliations, reviews of operating performance, security of assets, and segregation of duties.

Control activities include, but are not limited to, the following:

Implement segregation of duties where duties are divided, or segregated, among different people to reduce risk of error or inappropriate actions. No one person has control over all aspects of any financial transaction.

Make sure transactions are authorized by a person delegated approval authority when the transactions are consistent with policy and funds are available.

Ensure records are routinely reviewed and reconciled, by someone other than the preparer or transactor, to determine that transactions have been properly processed.

Make certain that equipment, inventories, cash and other property are secured physically, counted periodically, and compared with item descriptions shown on control records.

Provide employees with appropriate training and guidance to ensure they have the knowledge necessary to carry out their job duties, are provided with an appropriate level of direction and supervision, and are aware of the proper channels for reporting suspected improprieties.

The scope of this audit included a review of the design and operating effectiveness of internal controls relating to the grant process for the Douglas County Emergency Management Agency (DCEMA).

In addition to conducting a review of the internal controls relating to the grant process our examination included an assessment of the general internal controls for the agency.

An entrance meeting with Douglas County Emergency Management was held on September 5, 2007 at the DCEMA Director's office.

Douglas County Internal Audit Division (DCIAD) initial request for agency information included; (1) copies of agency written policies and procedures, (2) copies of all contracts, (3) prior audits, (4) an agency organizational chart, and (5) a summary of all purchases processed through the grant process and source documents for grant purchases.

DCIAD was provided job descriptions for three staff positions; Emergency Management Director, Emergency Management Assistant Director; and Clerk-Typist II; and an agency organizational chart. After several additional requests, DCIAD was provided with policies for dress code, weather, and citizen complaints. DCEMA also provided their Emergency Management Communications Procedure.

During the course of this audit DCIAD determined there were no prior audits of Douglas County Emergency Management (DCEMA), however, DCEMA was included in the DCIAD Special Report FY2005/2006 #04, *Grants Bi-Annual Physical Inventory of Equipment/Assets* and there were several findings⁸.

Also, Nebraska Emergency Management Agency personnel confirmed that DCEMA performed a 2004 Office of Domestic Preparedness (ODP) Assessment, a 2002 assessment of critical infrastructure and, in 2006, a Hazard Mitigation Plan, in conjunction with the Pappas/Missouri Valley Natural Resource District. Current DCEMA staff members were unaware of these assessments/plans, and were unable to provide copies of these assessments/plans.

Finding # 1

DCEMA does not have a comprehensive written policies or procedures manual for internal operating procedures and policies.

Recommendation

DCIAD recommends agency management develop a comprehensive policies and procedures manual, including grant management policies developed by the Douglas County Clerk /Comptrollers office.

Government Auditing Standards recommend that every government entity document its operating policies and procedures. The resulting documentation can also be used for training new personnel. Well-written and organized procedures should:

- Implement and ensure compliance with policies; as well as document those policies;
- Protect the institutional knowledge of an organization; when experienced employees leave, new employees have the benefit of their years of experience;
- Provide the basis for training new employees;
- Offer a tool for evaluating employees based on their adherence to procedures and;
- Help prepare the Department for an external audit assessment of internal controls over processes.
- The manual should include job descriptions with specific designated responsibilities.
- The Department should set up a system for regular updates and conduct periodic reviews, to ensure that old policies are updated or removed, when no longer needed.

⁸ Findings: (#1) Assets located in Civil Defense were missing asset tags; (#3) Substantial mileage reimbursement for 9551 miles to Interim Civil Defense Director; (#4) Staff Shortage in Civil Defense

Emergency Management Response

DCEMA does not have a comprehensive written policies and procedures manual including management policies. DCEMA has noted and will address those policies and procedures that are needed but not duplicate those that are applicable but addressed elsewhere.

DCEMA has acquired, and has in its possession, two of the three documents cited by DCIAD as not being available for review. A call was made to the Nebraska Emergency Management Agency (NEMA) regarding the 2002 assessment of critical infrastructure by DCEMA. NEMA stated that the 2002 assessment is obsolete and should not be relied upon. Furthermore, NEMA stated that new assessment criteria is in the process of being promulgated and will be forthcoming.

FINAL

Updated LEOP-NIMS Resolution

The audit scope required a review of the Local Emergency Operating Plan (LEOP) to determine if the plan adequately addressed federal and state regulations.

In 1986, Congress passed the Superfund Amendments and Reauthorization Act (SARA) of 1986. Title III of this legislation required that each community establish a Local Emergency Planning Committee (LEPC). Each LEPC is responsible to develop an emergency plan to prepare for, and respond to, chemical emergencies in their community. The emergency plan must include the following:

- ✓ an identification of local facilities and transportation routes where hazardous material are present;
- ✓ the procedures for immediate response in case of an accident (this must include a community- wide evacuation plan);
- ✓ a plan for notifying the community that an incident has occurred;
- ✓ the names of response coordinators at local facilities;
- ✓ and a plan for conducting exercises to test the plan.

The plan is reviewed by the State Emergency Response Commission (SERC) and publicized throughout the community. The LEPC is required to review, test, and update the plan each year.⁹

In addition to SARA, the Emergency Planning and Community Right-to-Know Act requires that detailed information about hazardous substances in, or near, communities be available at the public's request. The law provides stiff penalties for companies that fail to comply and allows citizens to file lawsuits against companies, and government agencies, to force them to obey the law.

The Douglas County LEOP was prepared by the Douglas County Emergency Management Agency (DCEMA) with the assistance of the Nebraska Emergency Management Agency (NEMA). A DRAFT plan was approved by the Douglas County Board of Commissioners on December 13, 2005.

While the Douglas County LEOP, as originally written, does meet the requirements of the Superfund and Reauthorization Act (SARA) of 1986, and the Emergency Planning and Community Right to Know Act, DCIAD noted several other compliance issues.

According to State and Federal law, **updating must be completed annually by the 'born on' date of the LEOP.**¹⁰ The born on date for the Douglas Count LEOP is August 9, 2005. The last update of the LEOP, provided on CD, is dated April 11, 2006.

Douglas County Emergency Management staff did provide an updated private directory; however, the directory was dated October 2006. There were no additional updates provided.

⁹ Nebraska 2007 State Homeland Security Strategy; Objective A.2

¹⁰http://www.nema.ne.gov/content/home_news/2007_ne_hs_strategy.pdf

Also, the preface to the LEOP claims, "in content and format the Plan is consistent with the National Incident Management System (NIMS)." A Governor's Executive Order (05-02), directs the adoption of NIMS, by October, 2005, and the Nebraska Emergency Management Agency NIMS website states, "each county should formally adopt NIMS." There are no Douglas County Board resolutions formally adopting NIMS, or approving the updated version of the LEOP.

Finding # 2

Douglas County Emergency Management provided an update to the LEOP personal directory dated October, 2006. The update provided was two months late for the 2006 deadline and the 2007 update, due August 9, 2007, has not been started. Also, additional updates, (for example, registered users of radioactive material in Douglas County, transportation routes, and city annexations), were not provided.

We found no evidence LEPC has regularly reviewed, tested or updated the LEOP, as required by SARA.

Recommendation

DCIAD recommends that DCEMA make every effort, including working with the LEPC, to immediately update the LEOP, and ensure that updated information is provided to all concerned stakeholders. Updates should be completed annually by August 9th.

Also, during our research Douglas County Internal Audit Division noted a vacancy on the State Emergency Response Commission (SERC). The position must be filled by a representative from 'City Government'. We recommend DCEMA work with the City of Omaha to gain an appointment to the SERC. Having a representative on SERC from the Omaha area would help to maintain knowledge of current guidance from the Federal Emergency Management Agency.

DCIAD also recommends regularly updating Douglas County Emergency Management Agency website. For example, the Local Emergency Planning Committee (LEPC) Directory was last updated on July 30, 2002.

Emergency Management Response

DCEMA has noted and concurs that the LEOP updates including phone numbers that may have changed in 2007 should and will be incorporated into the LEOP in December 2007. An updated as-built drawing and floor plan for C level will be pursued as well. The LEOP will then be submitted for the Douglas County Board of Commissioners for formal adoption.

The discussion of the Superfund Amendments and Reauthorization Act (SARA) of 1986 and the Emergency Planning and Community Right-to-Know legislation is interesting but not relevant to the audit. By-in-large, the government agency empowered with addressing the details and outcome of this legislation is the U.S. Environmental Protection Agency under title 40 of the Code of Federal Regulations.

The Local Emergency Planning Committee (LEPC) is not controlled by, nor is it under the authority of DCEMA. This is a community committee of which DCEMA is a member. In Nebraska, the LEPC may and does use the Hazardous Materials Annex as provided in the LEOP to fulfill the LEPC's emergency plan reporting requirement to the State Emergency

Response Committee (SERC); another committee comprised of government and community volunteers. It is not DCEMA's responsibility or tasking to alter its local LEOP Annex based on unique desires of LEPC members or their expectations and submit the Annex to SERC. Rather it is LEPC's responsibility to submit their plan to the SERC. The plan may contain additional information beyond the LEOP Annex for review and acceptance.

As was previously mentioned, the Local Emergency Planning Committee is not controlled by, nor does it report to DCEMA. If the LEPC is not reviewing or testing the LEOP as they should, that discrepancy lies with the LEPC, not DCEMA. As for updating the LEOP, even though the LEPC does not have sole authority to update the LEOP, any suggestions or comments submitted to DCEMA would be seriously considered.

The draft report states that the scope of DCIAD's audit required a review of the LEOP to determine if the plan adequately addressed federal and state regulations. It should be understood that the identification of any content, format and compliance issues related to the LEOP should be, have been and will be, addressed by those professionals who are knowledgeable, trained and empowered to make those changes. The LEOP is a document whose structure and outline is established by NEMA. It is also recognized by NEMA, first responders, and all entities involved in disasters planning such as Red Cross, Salvation Army, social service providers, political jurisdictions, OMMRS, COAD, United Way etc. as a living document, constantly refined due to outcomes of table top exercises and planned exercises such as last year's Triple Play that assess disaster response and any requirements dictated by federal grants, NEMA, or FEMA. The LEOP is drafted by DCEMA and its stakeholders, for review by NEMA. The review involves a check for accuracy and consistency with local capabilities-based planning and the State Emergency Operations Plan. Changes made to the LEOP must be reviewed and approved by NEMA.

DCIAD Response

Yearly LEOP updates, completed annually by the born on date (August 9th), is a Federal and State Emergency Management Agency requirement. If, as management has stated in their response, the LEOP is "a living document constantly refined due to outcomes" then management should include refinements in the annual update.

While DCEMA management may find the discussion of SARA and EPCRA interesting, they are mistaken in their statement that it is not relevant to the scope of this audit and their suggestion that the law does not apply to Emergency Management.

The scope of this audit required DCIAD to assess whether the Douglas County LEOP adequately addressed federal and state regulations. As required by federal law, the first page of the Douglas County LEOP refers to SARA and EPCRA and states, "This plan meets the requirements of the Superfund and Reauthorization Act of 1986 (SARA) also known as the Emergency Planning and Community Right to Know ACT (EPCRA)." Page one and two of the Basic section of the LEOP lists additional controlling legal authority.

Neb.Rev. § 81-15,217; section (c) requires a Local Emergency Planning Committee (LEPC) "update the plan...once a year by March 1." These yearly updates should also be included in the LEOP.

In Audit Finding #2 DCIAD found the LEOP was not updated annually by DCEMA. DCIAD did not imply DCEMA "controls LEPC," as stated in the management response. DCIAD did recommend DCEMA management; "make every effort, including working with the LEPC, to update the LEOP." The DCEMA Director is a member of the LEPC.

DCEMA management response also states, "It should be understood that the identification of any content, format and compliance issues related to the LEOP should be, have been and will be, addressed by those professionals who are knowledgeable, trained and empowered to make those changes."

This finding does not suggest DCIAD is capable of, or responsible to, professionally update the LEOP. Those functions, as stated previously, are the responsibility of DCEMA. However, Internal Audit is required to provide an independent appraisal examining and evaluating DCEMA activities.¹¹ While no internal auditor can be an expert in every area examined, audit standards require that an internal auditor obtain information during an audit to "provide a sound basis for audit findings and recommendations."¹²

DCIAD staff has conducted substantial research for this report, and while we did not complete the Basic Certification Program completed by the DCEMA Director, we are confident we can provide a sound basis for all findings and recommendations.

Finding # 3

The Douglas County Board of Commissioners has not formally adopted the National Incident Management System (NIMS), as required by Executive Order,¹³ federal regulation,¹⁴ and the Nebraska Emergency Management Agency.¹⁵

Also, there is no evidence that the Douglas County Board of Commissioners approved significant changes made to the DRAFT 2005 LEOP adopted by the Board on December 13, 2005. On April 11, 2006 a compact disc (CD) version of LEOP was released that contained several significant changes to the prior version approved in December. The April 11, 2006, amended LEOP has not been formally adopted by the Douglas County Board of Commissioners.

One major change in the final LEOP version is the implementation of a Disaster Situation Assessment Team (DSAT) approach to management for a disaster within Douglas County.¹⁶ (See Appendix 3) Many of the updated LEOP changes were within the city of Omaha Operations Plan.

The updated Omaha plan states:

- The Mayor will be in charge of emergencies within the city of Omaha **and will designate who will serve as the EOC Operations Chief.**" The Directory included in the original 2005 version names the Mayor's Assistant Chief of Staff as the Emergency Ops Chief.

¹¹ Statement of Responsibilities; Standards for the Professional Practice of Internal Auditing (IIA)

¹² Institute of Internal Auditors Standards

¹³ Nebraska Governor Executive Order 05-02

¹⁴ <http://www.fema.gov/emergency/nims/faq/compliance.shtm>

¹⁵ http://www.nema.ne.gov/index_html?page=content/nims/nims_home.html

¹⁶ A DSAT organizational chart is provided in Appendix 3

- The Douglas County Emergency Management Agency shall act as a disaster operations advisor to the Mayor and City Council and will assist in coordinating disaster operations. Disaster operation duties for the Emergency Management Agency may include, but are not limited to EOC readiness.

Recommendation

DCIAD recommends the Douglas County Board of Commissioners formally adopt NIMS. A copy of a formal resolution, provided by Nebraska Emergency Management Agency, can be found at http://www.nema.ne.gov/content/nims/nims_cedarcorz.pdf.

DCIAD also recommends the Douglas County Board of Commissioners require formal adoption of any major amendments to the LEOP that affect resources under Douglas County control, to ensure the Board has the opportunity to approve changes.

FINAL

Emergency Operations Center

Historically the Douglas County Civil Defense Agency, a predecessor agency to Emergency Management, was totally funded by Douglas County. The function of the Civil Defense Director was to keep the Board informed of emergency/disaster activities and manage the warning siren system for Douglas County.

After the 1975 Omaha tornado, Douglas County built an Emergency Operations Center (EOC) beneath the Omaha Civic Center; and Civil Defense, renamed Emergency Management, assumed responsibility for the EOC. After initially preparing the EOC for emergency operations, Douglas County has not invested in regular maintenance for the Center.

Sometime prior to 1996, the Douglas County Sheriff established an emergency (911) communications division; and on August 20, 1996 the Douglas County Board passed a resolution to combine Douglas County 911 with the City of Omaha 911. The combined entity, operating in the EOC before new facilities were constructed in Western Omaha, was partially funded using a \$.50 cent surcharge on local phone exchanges. The 911 Communications Agency assumed the responsibility of setting off the warning sirens and the Douglas County Emergency Management Agency retained responsibility for maintenance of the warning siren system and operating the EOC.

After the September 11, 2001 terrorist attack in New York, the federal government established the Department of Homeland Security (DHS) and in 2003, started issuing substantial grant funds to reinforce local emergency planning. Initial federal homeland security grants were issued to counties, with Douglas County receiving nearly \$3 million dollars from 2002-2006.¹⁷ A majority of the federal funds expended by the county were used to finance communications and incident response equipment for 911 and the Sheriff.

Federal grant restrictions¹⁸ do not permit the County to use grant money to update the Emergency Operations Center.

According to the Emergency Management Agency website, the EOC "is used as part of a coordinated response to disasters and emergencies that take place in our community. Since the facility is located underground, it is resistant to most all disasters."

While the communications capabilities of the EOC have been substantially updated in recent years, the DCEMA website also claims, "the Emergency Operations Center is self-supporting and has back up electrical power, a medical unit, full kitchen and sleeping dorms for extended operations."¹⁹ During a disaster there can be up to 250 people working out of the EOC and the EOC is maintained in a fully operational mode.²⁰

During our review DCIAD toured the Emergency Operation Center and observed the following conditions;

¹⁷ This total does not include grants to law enforcement for the Homeland Security Overtime Program

¹⁸ Title I, Chap. 6, Pub.L. 108-11, 117 Stat 583; Title III, Pub.L. 108-90, "funds may not be used for the construction or renovation of facilities."

¹⁹ <http://www.co.douglas.ne.us/county/emergency/about/about.htm>

²⁰ Annex A Douglas County LEOP ; SITUATION

- a) The vast majority of chairs, tables, and other equipment, detailed in the LEOP EOC floor plan, do not exist.
- b) The sleeping dorms in the facility, detailed in the LEOP floor plan, are being used by a non-emergency county agency and are also used for storage by another non-emergency agency. There are no beds, or bedding of any kind, anywhere in the EOC.
- c) The size of the kitchen, 12 ft. X 20 ft., would make it difficult to prepare food for the large number of people expected during an extended emergency. There are no stored foods provisions, other than 150lbs. of stored Meals Ready to Eat (MRE's).²¹ This is approximately 84 meals. There is a 3 to 5 year shelf life for MRE's.
- d) Individual rooms dedicated for emergency responders, and government relocation, are being used as storage facilities.
- e) The facility is not ADA compliant,²² or handicap accessible; for example, some bathroom doors are less than 30" wide, and staircases to the second floor operating center are open spiral staircases.
- f) The EOC generator has a two day supply of fuel.²³
- g) There are very few medical supplies in the medical unit.
- h) The facility has had a recent flood due to a water main break and the clean up was not thorough. Wall panels in the duplicate 911 Center are totally discolored and stained and it is apparent the whole center has not been cleaned in a long time.
- i) The temperature in a room used to house emergency telephone equipment was 83 degrees, despite a dedicated air conditioner; and there is a dehumidifier in the room used for housing computer servers.
- j) Signage has not been updated since the facility was built

The Urban Area Security Initiatives (UASI) Memorandum of Understanding (MOU),²⁴ approved by the Douglas County Board of Commissioners, requires "the participant with custody of the equipment agrees to properly maintain, *and store*, the equipment in a manner that assures the security, *and integrity*, of the equipment."

The MOU also states the "participant with custody of the equipment (purchased by the UASI)" agrees to "at their own expense, to promptly repair or replace equipment in their custody that becomes damaged or fails to operate correctly" and "agrees to exercise due care in every respect to prevent damage, destruction, loss or misuse of the equipment in their custody."

Finding # 4

If the City of Omaha, and other communities that do not have an Emergency Operations Center, are depending on the Douglas County Emergency Operations Center as a significant element of their Emergency Operations Plan, the EOC needs to be ready for such an occasion.

²¹ http://www.olive-drab.com/od_rations_mre.php

²² <http://www.ada.gov/stdspdf.htm>

²³ Annex A Douglas County LEOP; SITUATION

²⁴ 3/15/06 MOU between Omaha-Area Participants in regional security protection program; page 2

Despite the considerable financial resources Douglas County has devoted to emergency planning and preparedness, the emergency operations center, does not appear to be adequate to accomplish many of the responsibilities detailed in on the agency website and in the LEOP.²⁵

DCIAD found areas in the EOC that may not be conducive to assuring the integrity of equipment stored in the EOC.

Recommendation

Nearly half the population of the State of Nebraska is within the Douglas-Sarpy-Washington tri-county area.²⁶ Leaving the task of ensuring the Emergency Operations Center is immediately operational for 250 emergency responders, to one Emergency Management Director; and expecting one government entity within one county to fund all upkeep and maintenance for the 25,000 square foot facility, is not equitable, or reasonable.

Upkeep and maintenance of this facility should not be just the responsibility of Douglas County. If all emergency stakeholders within Douglas County determine there is a need for this type of facility; they should agree upon a shared funding mechanism for upkeep and maintenance of the Douglas County Emergency Operations Center. This should include, but not be limited to, asking the State to provide direct assistance, or allow an additional local funding mechanism.

At this time the facility is in very poor condition and, for all practical purposes, inadequate to sustain human habitation for an extended length of time. If first responders in Douglas County are actually depending on the EOC to be functional in the case of an emergency incident; a lot more needs to be done to accomplish that objective.

Also, a duplicate Emergency Operations Center site that is not as extensively equipped, could be considered as part of a comprehensive emergency plan. Offices for the Emergency Management Agency could be relocated to the site so the agency would be more visible within the community. A possible relocation site would be available space at the new correctional facility or the 911 Communication Center. This would facilitate easy access to emergency responders and already available resources.

Management Response

The misstatements as they appear on the Douglas County Emergency Management Agency (DCEMA) website regarding the facilities and personnel working capacity of the Emergency Operating Center (EOC) are noted and have been reported to DOT.Comm for correction. The role of the EOC is not that of a long term shelter. It is a communications center whose capabilities can be improved, but in reality is an envy of most communities of similar population.

The audit state that "...in particular the emergency operations center does not appear to be adequate to accomplish many of the responsibilities detailed in the LEOP." This is a serious statement of judgment. Other findings discuss a lack of maintenance, accommodations (including tables, chairs, sleeping quarters) food, medical facilities, and outdated signage.

²⁵ DCEMA LEOP responsibilities are listed in detail in this report

²⁶ See financial distribution by population charts pages 35-36 in this report

Some of these comments regarding the need for updating the offices that support the EOC function are noted and will be addressed but the intended use of the EOC is not that of an underground bunker for sustained living but rather that of an emergency operations center for a disastrous event. It should be realized by DCIAD that most all EOC's do not have sleeping quarters and many are not underground. Furthermore, some newer EOC's are now designed to be remotely located outside of urban target areas with the capability to connect to other agencies via the internet and radio communication. A current risk management theory is to not locate all government assets in one building and location.

The plan for the EOC to be a sustained underground living arrangement in response to the threat of an incoming intercontinental ballistic missile is not one of the national planning scenarios. Conversely, the ability to communicate with and move assets and populations at risk to safe locations is now emphasized as the appropriate response to most catastrophic incidents.

In summary, the Douglas County EOC does function and is exercised to demonstrate its capability. It is used in large scale exercises and has some of the most current technology available. There are enhancement to the EOC and the adjacent rooms that are in the planning stages that will change the appearance, capacity, and efficiency of the operation to better match the many different threat scenarios that exist today. Plans for sustained underground living in the EOC are not being considered at the present time.

The need for a duplicate or alternate site for Emergency Operations as recommended is noted. DCEMA has been and will continue to follow up on satisfying this recommendation.

The audit recommends that the funding of improvements of the EOC be shared by all jurisdictions within Douglas County. It is my understanding that prior to 1984, the City of Omaha was responsible for Civil Defense and it's funding. Douglas County assumed full responsibility for the funding and management of the Agency in 1984 through an Interlocal Cooperation Agreement. The suggestion that other Douglas County jurisdictions share in the cost of improvements of the EOC would have to be addressed by the Douglas Count Board of Commissioners.

DCIAD Response

DCIAD's conclusion, that the EOC is an extended stay facility, does not seem unreasonable since the LEOP floor plan for the EOC specifies sleeping dormitories, a kitchen facility, and the DCEMA website claims the EOC is prepared for an extended stay.

Annex A, Direction and Control, in the LEOP states, " the EOC may operate on a 24-hour basis during an emergency." (pg. 62) The EOC is also the backup facility for a 24-hour 911 facility. In any case, the facility should stock basic provisions and some accommodation for a person to rest.

Claims made in the Douglas County Local Emergency Operating Plan (LEOP) compiled by DCEMA, that the facility is a (1) 24 hour facility ²⁷and (2) has the capacity for a maximum

²⁷ LEOP; Page 62

staff of 250 people²⁸, could be tested by requiring 250 people to operate within the facility for 24 hours; such a test would reveal any improvements needed.

²⁸ LEOP, Page 58

County Department Emergency Responsibilities

In 2005, in accordance with Federal requirements,²⁹ Douglas County Emergency Management compiled a Local Emergency Operations Plan predetermining, "actions to be taken, in case of an emergency, by responsible elements of government within Douglas County, including cities, villages, and cooperating private organizations."

The Douglas County Board passed a resolution, August 7, 2005, approving the 2005 Douglas County Local Emergency Operating Plan (LEOP). Copies of the plan were distributed to the Board of Commissioners, County Clerk, County Sheriff, COA Douglas County, DC Engineers, USDA County Emergency Board, and various departments' heads for cities within Douglas County.

According to the LEOP, actions to be taken by responsible elements of government include:

- Prevent avoidable disasters.
- Reduce the vulnerability of Douglas County residents to any disasters that may strike.
- Establish capabilities for protecting citizens from the effect of disasters.
- Respond effectively to the actual occurrence of disasters.
- Provide for the recovery in the aftermath of any emergency involving extensive damage or other detrimental effect on normal life within the community.

The LEOP details many of the actions to be taken by responsible elements within Douglas County **including directives to Douglas County agencies.**

According to the Basic Plan, "Each department is responsible for developing and maintaining procedures for meeting its emergency responsibilities." The Plan also states that, "the line of succession of each department head is according to the operating procedures established by each department."³⁰

Finding # 5

Emergency Management, and/or Douglas County Administration, did not notify Douglas County departments not included in the LEOP distribution about their responsibility to develop and maintain procedures for meeting their emergency responsibilities and establish lines of succession.

Recommendation

Due to subsequent planning by the Douglas County Department of Health for Pandemic Flu requiring Departments to prepare emergency operating plans this finding may not be urgent, but it illustrates a need for improved communication between Emergency Management and the rest of county government. Communication could be improved by better utilizing the Emergency Management Agency website. Johnson County, Kansas has an excellent emergency management website and has published their LEOP on the site.³¹

²⁹ <http://www.fema.gov/plan/gaheop.shtm>

³⁰ Appendix A

³¹ [http://www.jocoem.org/documents/LEOP/LEOP_\(2005\).pdf](http://www.jocoem.org/documents/LEOP/LEOP_(2005).pdf)

Emergency Management Response

The need for department directors to understand their roles in emergency planning resulting in the establishment of lines of succession is noted. DCEMA has stated to the directors the need for succession planning in each department. Furthermore, the Douglas County Chief Administrative Officer and the Douglas County Risk Manager have also stated this requirement to the directors as part of their recent pandemic planning policy. Not all departments have forward their lines of succession plans to DCEMA. DCEMA will follow up on the departments still outstanding.

FINAL

Grant Distribution and Committee Membership

The scope of the audit included reviewing internal controls over the grant process and a complete review of the grant process was conducted. Prior audits of the grant process revealed several findings. A follow-up review of those findings was performed and it was determined that all prior findings have been corrected. The following information is provided about the federal grant process for Emergency Management.

The Nunn-Lugar-Domenici Preparedness Program was created under Title XIV of the National Defense Authorization Act of 1996 authorizing the Department of Defense to develop a domestic preparedness training and equipment program.

Grant funding, under Nunn/Lugar/Domenici, for the State of Nebraska in 1999 was \$545,000 dollars; and in 2000/2001 the State received \$1,225,000 dollars. In 2002/2003 Douglas County directly received \$40,841 dollars for Emergency Management Assistance³² and in FY 2002/2003 Douglas County received \$36,999 dollars in Emergency Management Assistance grant funds³³. In 2002 the Homeland Security Act was passed by Congress,³⁴ and in FY 2003/2004 Douglas County received \$1,006,473 dollars in Homeland Security Strategy Planning grants.³⁵

In FY 2004/2005, Douglas County received \$815,030 dollars and in FY 2005/2006 the County received \$930,720³⁶ in Homeland Security grant dollars.

Emergency Management Agency Budget Information						
Fiscal Year	Number of Employees	Payroll	Other Expenses	Capital Outlay	Total Expense	% of Increase
07/08	4 ³⁷	202,124	119,020	3,000	324,144	-75.55
06/07	3	157,596	139,821	1,028,098	1,325,515	-5.29
05/06	3	166,097	467,082	766,353	1,399,532	37.65
04/05	3	149,637	370,084	496,082	1,016,718	-57.38
03/04	3	146,390	380,912	1,858,478	2,385,780	1051.31
02/03	3	137,669	69,554	0	207,223	-3.23

On December 13, 2005, the Douglas County Board, in accordance with federal grant regulations passed a resolution adopting a Douglas County *Local Emergency Operating Plan*.³⁸ Also on that same day, a resolution recognizing the *Omaha Metropolitan Emergency Planners Association* as "the regional association for coordinating Emergency Management planning and policy" was adopted.

³² Schedule of Expenditures of Federal Awards; Year ending

³³ CFDA # 83.503

³⁴ Effective date January 1, 2003; <http://www.whitehouse.gov/deptofhomeland/analysis/index.html#4>

³⁵ CAFR CFDA # 97.004

³⁶ CAFR CFDA # 97.004 & 97.067

³⁷ Requested number of employees

³⁸ LEOP "provides a coordinated response to Disaster Emergency in Douglas County"

The Omaha Metropolitan Emergency Planners Association was never activated because, that same year, the City of Omaha was chosen by the Nebraska Governor to administer a new 2005 Urban Area Security Initiative (UASI) grant³⁹ under the Homeland Security Grant Program (HSGP).

The Federal UASI grants were established under the HSGP in 2003 to provide, "financial assistance to address the unique planning, equipment, training, and exercise needs of high-threat, high-density urban areas, and to assist them in building an enhanced and sustainable capacity to prevent, respond to, and recover from threats or acts of terrorism."⁴⁰ The first year the grant was started only seven cities were eligible for the additional funding. Largely due to politic pressure, in 2005 and 2006 ninety five cities, including Omaha and a 10 mile buffer zone, were included in the program. The Omaha UASI region covers more than 650,000 Nebraska citizens and 900 square miles.⁴¹

March 15, 2006, the Douglas County Board entered into a Memorandum of Understanding (MOU) with the City of Omaha, participating with the City, in regional security programs including the 2005 Urban Area Security Initiative (UASI) for the Tri-County Urban Area Homeland Security Strategy.⁴²

The Tri-County Urban Area has designated the Tri-County Urban Area Working Group as the urban area advisory committee. The Deputy Chief of Staff to the Mayor of Omaha is the designated Point of Contact (POC) for the UASI program and the working group decides how UASI grant dollars are distributed. Douglas County has some representation on the committee including the Emergency Management Director.

In 2005 the State of Nebraska was eligible for \$5,148,300 UASI grant dollar and budgeted \$4,687,675 for the UASI. \$4,127,028 dollars of the grant were budgeted for purchasing equipment, and the remaining grant money was used by the city of Omaha to finance staff for training and grant management. The grant period for the award was April 1, 2005 through March 31, 2008.⁴³ The 2005 grant has been totally expended.

In 2006 a second UASI grant, for \$8,479,030 dollar was received for the period August 30, 2006 through June 30, 2008. The State is budgeted to keep \$83,300 dollars for grant Management and Administration (M&A), and the UASI will receive \$8,246,700 dollars. The city of Omaha will use \$333,200 for M&A and the UASI has budgeted \$6,115,800 dollars for equipment purchases. The remainder of the grant money will fund staff and training.⁴⁴

Due to a change in eligibility guidelines, the Nebraska Tri-County Urban Area will not be eligible for any 2007 UASI grant dollars, however, 2008 grant eligibility guidelines will allow the Nebraska UASI to, once again, participate as an eligible UASI for grant dollars, however, there is no guarantee they will receive any grant dollars.⁴⁵

³⁹ <http://www.ojp.usdoj.gov/odp/docs/fy2006hsgp.pdf>

⁴⁰ http://www.michigan.gov/msp/0,1607,7-123-1593_3507_41574-128544--,00.html

⁴¹ UASI press release for new Code Spear implementation

⁴² Douglas, Sarpy and Washington counties

⁴³ City of Omaha 2007 Adopted Budget; HSGP grant extension per NEMA

⁴⁴ Separate grants are designated for Omaha Metropolitan Medical Response System (OMMRS)

⁴⁵ Per phone call with Senator Nelson's office

Representation on State Committee

In 2005 the Nebraska Lieutenant Governor, as the State Homeland Security Director, and the Homeland Security Policy Group replaced the Homeland Security Leadership Group with the Homeland Security Senior Advisory Group (HSAA). The HSAA includes representatives from state agencies, local jurisdictions, Urban Area Security Initiative (UASI), and the Citizen Corp Coordinator.⁴⁶

The Homeland Security Policy Group designated each county as a jurisdiction for the purpose of Homeland Security planning. The County Emergency Manager was the designated point of contact (POC) for each local jurisdiction.

In Douglas County the MOU approved by the county Board of Commissioners on March 15, 2006 authorized the Tri-County Urban Area Working Group to designate a POC for the UASI. The group designated the Omaha Mayor's Deputy Chief of Staff as the UASI POC.⁴⁷

The Nebraska Emergency Management Agency is the State Administering Agency (SAA) for the State Homeland Security Assessment and Strategy program (SHSAS). The SAA tasked the Nebraska Homeland Security Planning Team as the working group responsible for making recommendations regarding the strategy preparation phase for program goals, objectives, and implementation plans. Once those suggestions are made they are presented to the SAA and the policy group for review.

The Homeland Security Planning Team is a multi-disciplinary committee developed to guide the strategy development for grant allocation funding for distribution among emergency responders in the state. All 41 members of the Planning Team are state employees.

The Senior Advisory group is a seventeen member group.⁴⁸ Thirteen members of the group are Nebraska State employees, one member is a Federal employee, and the remaining three members are the Omaha mayor, the Omaha city grant writer, and an Omaha Metropolitan Medical Response System member.

Finding # 6

Douglas County does not serve on any of the Homeland Security committees at the State level.

Recommendation

The Douglas County Emergency Management Director, or a designee appointed by the Douglas County Board of Commissioners, should ask to serve on a state level Homeland Security committee.

Participating on a state level committee would ensure the citizens of Douglas County, the largest county in the state, are represented in state level planning and the unique needs of the county are considered.

⁴⁶ 2007 Homeland Security Strategy

⁴⁷ MOU Omaha-Area Participants in Regional Security Protections Programs

⁴⁸ Appendix 4

Emergency Management Response

The audit attempts to link working with Omaha city government and maintaining knowledge of current guidance from the Federal Emergency Management Agency (FEMA) with serving on the SERC. The SERC is a U.S. EPA established entity and does not regulate, manage or dictate policy from or for FEMA to Emergency Management.

DCIAD Response

FEMA has co-published several guides on HAZMAT emergency planning, including Guidelines for Public Sector Hazardous Material Training. In the FEMA Guide for All-Hazard Emergency Operations Planning,⁴⁹FEMA recommends planning teams use the guides to identify "unique planning requirements that should be addressed in the EOP." DCIAD's suggestion that DCEMA work with the City of Omaha to have the city gain a seat on SERC is an attempt to fill a vacancy on the SERC with someone from the UASI.

Current membership on the SERC includes a local emergency manager, a NEMA representative, a school district representative, a small business representative, and several other community representatives.

⁴⁹ <http://www.fema.gov/pdf/plan/6-ch-c.pdf>

NIMS Training

Planning for emergencies ensures that the emergency services, local authorities, and other organizations better communicate and coordinate their efforts, improving the management at the scene, in the emergency operations center, and the post-disaster recovery process.

The best plan in the world, however, is only effective if all plan participants are aware of their specific responsibilities.

It makes sense to plan for emergencies, and is generally a good practice, but there is also a duty of care that must be provided. Failure to achieve and maintain at least a minimum competence for responding to an emergency could have a significant, if not devastating, impact upon governmental and personal liability for damages caused by an incident.

The Douglas County Local Emergency Plan is a comprehensive document that details incident management for disasters that may occur in the Douglas County area, including floods, hazardous material spills, radioactive material release, and terrorism.

The document provides protective shelter information; resource management, including transportation; continuation of county services; medical response responsibilities and many more details vital to a comprehensive and effective incident response strategy.

The Federal government has also provided training for a comprehensive National Incident Management System (NIMS) and it is important for all agency management and personnel to take time to view on-line NIMS training.

DCIAD interviewed the UASI NIMS Training Director and obtained a list of Douglas County personnel that have already received NIMS training. While law enforcement, Corrections, and Health department first responders were listed, very few other County employees were listed as having received NIMS training.

Finding #7

Department Directors may not all be aware of their responsibilities during an emergency incident and many county employees have not received basic incident management training (NIMS).

Recommendation

The Emergency Management Director should continue to work with all county departments, on a regular basis, to ensure all county employees receive basic incident management training.

The Emergency Management Agency Director should be a Certified Emergency Manager⁵⁰ or working to receive advanced certification within three year from hire date, as required in the position job description.

⁵⁰ <http://www.iaem.com/certification/generalinfo/cem.htm>
<http://training.fema.gov/IS/>

Emergency Management Response

The adoption of NIMS training was a requirement when the Douglas County Board of Commissioners approved the UASI and Homeland Security funding. Key employees of law enforcement, Emergency Communications, the Health Department and DCYC were recognized. The Department of Corrections and many other department directors have been trained in NIMS and training opportunities continue for employees. It is not essential, necessary or suggested by any standard that all county employees receive basic incident management training as recommended in the audit.

The audit report states that "Emergency Management Agency Director should be a Certified Emergency Manager or working to receive advanced certification within three years from hire date, as required in the position job description.

DCIAD may be confused with the terminology in the director's position description. Under the heading of "TRAINING, EDUCATION AND/OR WORK EXPERIENCE REQUIREMENTS" the director's position description actually states the requirement as follows: "Certification as an Emergency Management Program Director in accordance with criteria established by the Nebraska Emergency management Agency is desirable. It must be completed within one year of hire. Advanced certification is required within three years of hire." Both of these training and certification requirements and credentials are offered by NEMA.

It appears that DCIAD may have misinterpreted the certification requirement in the director's position description with the Certified Emergency Manager® credential, offered through a professional organization, the International Association of Emergency Managers (IAEM). The DCEMA director has completed NEMA's basic academy and certification for emergency management. The director will complete NEMA's advanced certification within three years as required

DCIAD Response

As stated in the audit finding, documentation was provided by the UASI NIMS training Director to show that law enforcement, Corrections and Health Department personnel have received entry level NIMS training. No documentation was provided by DCEMA to support their assertion that, "many other department directors have been trained in NIMS."

The new 2007 NIMS Compliance Guide for Local Governments, Section 1 Metrics: Community Adoption compliance requirement states, "Adopt NIMS at the community level for all government departments and agencies."⁵¹

The NIMS Implementation Matrix for Local Jurisdictions, guidance requires completion of the IS-700 NIMS training for entry level first responders, first line supervisors, and middle management. The 3-hour course explains the purpose, principles, key components and benefits of NIMS.⁵²

⁵¹ <http://www.nema.ne.gov/content/nims/FY07compguide.pdf>

⁵² <http://www.training.fema.gov/emiweb/IS/is700.asp>

The job description for the Emergency Management position does say, "Certification as an Emergency Management program Director in accord with criteria established by the Nebraska Emergency Management Agency is desirable."

DCIAD asked the Emergency Management Director for his certification. The document provided was from NEMA and states the Director completed the "Basic Certification Program for Emergency Management." Because the job description refers to, "Certification as an Emergency Management Program Director," DCIAD checked with NEMA and was referred to their training website. The NEMA website offers a Basic Emergency Management Academy, but there was no Certified Emergency Management Program Director certification listed.

There was a link to FEMA training and when DCIAD checked the FEMA site there was a Certified Emergency Manager (CEM®) Program⁵³ listed. It appears the CEM certification is a recognized term of art for the Emergency Management profession, and consistent with the IAEM certification, not NEMA certification. (See Appendix 7) The International Association of Emergency Manager's (IAEM) receives FEMA funding to develop, and offer, the CEM® program.

At the present time, the Douglas County Board of Commissioners may be confident the NEMA Basic Certification satisfies this job requirement. In the future, the language in the job description could be revised to eliminate any conflict in language or interpretations.

⁵³ <http://training.fema.gov/Programs/cem.asp>



**Douglas County
Emergency Management Agency**
Paul W. Johnson, Director

DATE: October 24, 2007

TO: Carmen Harmon, Supervisor
Internal Audit Division, County Clerk/Comptroller Department

SUBJECT: Draft Audit

As director of the Douglas County Emergency Management Agency, I reviewed the comments and recommendations presented in the draft audit of this agency. However, some of the text, findings and recommendations as written appeared to lack order and were difficult to follow. Some changes may want to be considered by the Douglas County Clerk's Internal Audit Division (DCIAD) that would improve the clarity and value of such audit reports in the future.

Comments Pertaining to the DCIAD Audit of DCEMA

DCIAD's report contained discussion, suggestions, recommendations and some subjective opinions that appeared to be either unfounded or in direct or eminent conflict with the real world practice of emergency management. It also appears to fall short in recognizing the investment and participation of the many government and private entities that are involved in the on-going preparation, planning, mitigation, response and recovery efforts pertaining to a disaster.

Since a standard outline format was not used for the draft report and topics are repeated within the report, my comments will address the audit items by referencing the page number where they first appear and are discussed.

It is the policy of the Douglas County Internal Audit Division (DCIAD) to include the agency response, verbatim, with the audit. Responses to specific audit findings were integrated in the report; however, the following letter was included with audit responses and, per policy, has been included in the report.

DCIAD Response

DCIAD regrets that the auditee was confused by the report. The report format is a standard audit format, applying generally accepted auditing standard, as cited in the transmittal letter on page 2 of this report.

Not recognizing "any other government or private entity," as suggested by the auditee, was intentional. DCIAD only examines Douglas County agencies and this report only examined the Douglas Count Emergency Management Agency.

FINAL

Appendix 1

AGENCY	Federal Emergency Management Agency FEMA	Nebraska Emergency Management Agency NEMA	Douglas County Emergency Management DCEMA
MISSION	<p>The primary mission of the Federal Emergency Management Agency is to reduce the loss of life and property and protect the Nation from all hazards, including natural disasters, acts of terrorism, and other man-made disasters, by leading and supporting the Nation in a risk-based, comprehensive emergency management system of preparedness, protection, response, recovery, and mitigation.</p>	<p>NEMA is charged by state statute to reduce the vulnerabilities of the people and communities of the damage, injury and loss of life and property resulting from natural, technological or man-made disasters and emergencies.</p>	<p>To provide leadership and support by partnering with all levels of government and the private sector to mitigate against, prepare for, respond to, and recover from an emergency.</p>
PLAN	<p>The National Response Plan, (NRP)⁵⁴ last updated May 25, 2006, establishes a comprehensive all-hazards approach to enhance the ability of the United States to manage domestic incidents. It forms the basis of how the federal government coordinates with state, local, and tribal governments and the private sector during incidents.</p>	<p>On April 4th, 2005, the Nebraska Homeland Security Policy Group approved the use of baseline requirements for NIMS⁵⁵ Training and the NIMS Implementation Plan as the initial requirements for basic NIMS Certification.</p>	<p>The Douglas County Local Emergency Operations Plan (LEOP) serves as a template for response to a wide variety of threats.</p>

⁵⁴ The National Response Plan is a 426 page document; the Quick Reference Manual is 27 pages in length

Appendix 2

The following table compares county Emergency Management staff to county population. The counties used for comparison were randomly chosen, with the exception of two counties in Iowa that offer a regional comparison.

Douglas County has the highest population to staff ratio of any of our test counties. Polk County, Iowa is the next highest, with a 124,867 to 1 ratio; however, the county operates using a commission model for management.

COUNTY EMERGENCY MANAGEMENT AGENCY STAFF COMPARISON			
COUNTY	POPULATION	NUMBER OF EMERGENCY MANAGEMENT STAFF	RATIO OF POPULATION TO STAFF
DOUGLAS COUNTY, NE	492,003	3 FULL-TIME* *1 VACANCY	164,001 to 1
POLK COUNTY, IA	374,601	3 FULL-TIME	124,867 to 1
SHELBY COUNTY, TN	909,035	10 FULL-TIME 3 PART-TIME	90,903* to 1 *full time only
JOHNSON COUNTY, KS	516,731	6 FULL-TIME	86,121 to 1
GALVESTON COUNTY, TX	277,563	5 FULL-TIME	55, 512 to 1
BREVARD COUNTY, FL	600,00+	7 FULL-TIME	85,714 to 1
CLARK COUNTY, WA	392,403	8 FULL-TIME	49,050 to 1
LEE COUNTY, AL	123,254	5 FULL-TIME	24,508 to 1
POTTAWATTAMIE COUNTY, IA	87,704	4 FULL-TIME	21,926 to 1

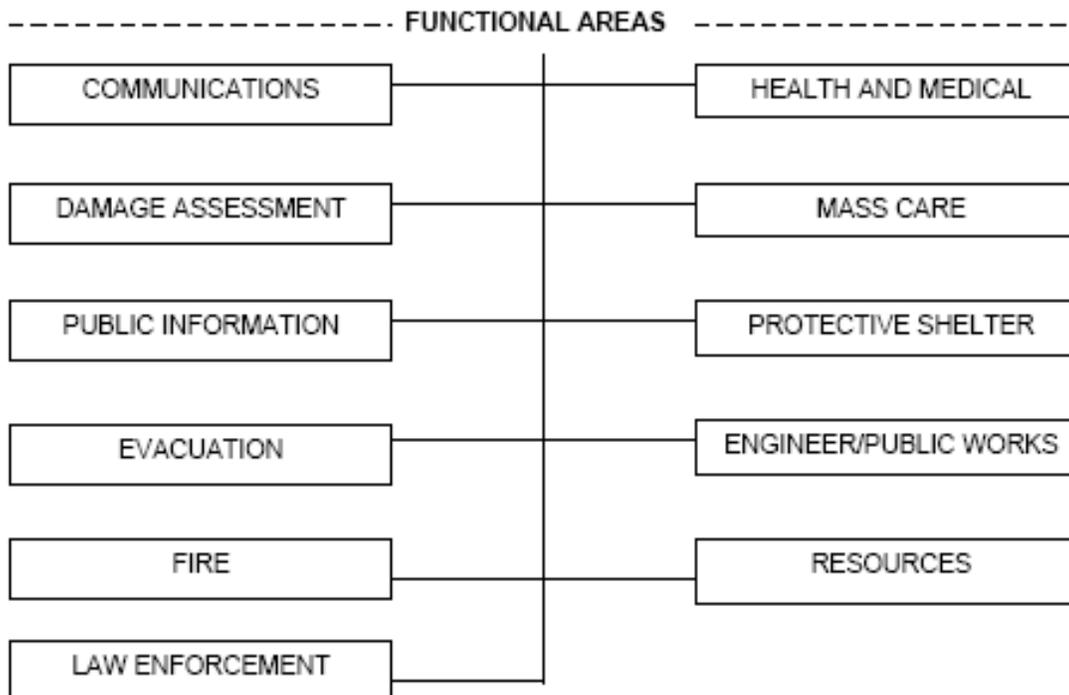
Earnings

How much emergency managers earn depends on the job title and employer. Entry-level jobs requiring only a high school diploma may pay less than \$30,000 a year, but upper-level supervisory positions requiring advanced degrees and experience often have starting salaries beginning at \$84,000 a year and moving into the six figures.⁵⁶

⁵⁵ National Incident Management System provides a nationwide template to establish how Federal, State, tribal and local governments and private sector and nongovernmental organizations work together responding to an emergency

⁵⁶ http://www3.ccps.virginia.edu/career_prospects/briefs/E-J/EmergencyManage.shtml

DIRECTION AND CONTROL ORGANIZATION CHART



Appendix 3

Appendix 4

Nebraska State Emergency Response Committee Member List ⁵⁷				
1	Allen	Grell	Beatrice	NACO
2	Tim	Hofbauer	Columbus	Local Emergency Management
3	Donald	Eisenhauer	Fairbury	Agribusiness
4	Richard	Christensen	Hastings	Chemical Industry
5	Christine	Bleich	Lincoln	American Cancer Society
6	Joe	Francis	Lincoln	NDEQ
7	Dennis	Hohbein	Lincoln	State Fire Marshall
8	Larry	Johnson	Lincoln	Trucking Industry
9	Robert	Lempke	Lincoln	NEMA
10	Rhonda	Lahm	Lincoln	Nebraska State Patrol
11	Jim	Schmailzl	Lincoln	NDOR
12	Sue	Semerena	Lincoln	NDHHS
13	Steven	Wood	Lincoln	Labor/Welder
14	Steven	Danon	Omaha	Small Business/ Marcotte Ins.
15	Mark	Reimers	Omaha	Transportation/UP
16	Keith	Hansen	Omaha	UNMC
17	Keith	Deiml	Papillion	School Districts
18	Dana	Miller	Scottsbluff	Firefighters
19	vacant			City Government

Senior Advisory Members		
1	Al Berndt	NEMA
2	Bob Leopold	NE HHSS
3	Brad Hansen	NE Corrections
4	Bruce Neemann	State Fire Marshal
5	Bryan Tuma	State patrol
6	Christine Newlon	UNMC BioTerrorism
7	Gail Braun	Omaha Grants
8	Jay Ringenberg	NE DEQ/HHSS
9	Jayne Scofield	DAS/CIO
10	Keith Hansen	NE HHSS
11	Mardell Hergenrader	NEMA
12	Mayor Mike Fahey	Omaha
13	Phyllis Dutton	OMMRS
14	Ruth Cover	Ne HHSS
15	Susan Burton	Ne Volunteer Services Coordinator
16	Ted Blume	Game & Parks
17	Tom Jensen	NE Dept. of Agriculture

⁵⁷ http://www.nema.ne.gov/index_html?page=content/SERC/serc_home.html

	Population	Percent of total US population	Per Person distribution of 3 year total	FY 2006 State Homeland Security Program (SHSP)	SHSP Total 2003-2006	FY 2007 Congressional Formula Allocation	Law Enforcement Terrorism Prevention Program 2006	Law Enforcement Terrorism Prevention Program Total FY04-06	Per Person Distribution of LETTP Funds FY 04-06
Nebraska	1768331	0.58%	\$36.33	\$11,200,000.00	\$64,248,520.00	\$3,819,375.00	\$1,540,000.00	\$11,293,280.00	\$6.39
Iowa	2982085	0.98%	\$24.29	\$7,520,000.00	\$72,434,834.00	\$3,819,375.00	\$5,470,000.00	\$17,400,576.00	\$5.84
Kansas	2764075	0.91%	\$25.54	\$7,850,000.00	\$70,594,934.00	\$3,819,375.00	\$5,710,000.00	\$17,242,340.00	\$6.24
South Dakota	781919	0.26%	\$61.26	\$4,380,000.00	\$47,897,052.00	\$3,819,375.00	\$3,180,000.00	\$11,181,474.00	\$14.30
Colorado	4753377	1.56%	\$18.62	\$8,080,000.00	\$88,508,658.00	\$3,819,375.00	\$7,600,000.00	\$22,392,512.00	\$4.71
Total of All States	302744730	100%	\$17.61	\$528,165,000.00	\$5,331,803,726.00	\$203,700,000.00	\$384,120,000.00	\$1,267,455,537.00	\$4.19

Appendix 5

	Metropolitan Medical Response System Funding History FY05-06	MMRS Jurisdiction	MMRS FY2007	Citizen Corps Program Total FY04-06	CCP FY 07
Nebraska	\$919,844.00	Lincoln/Omaha	\$516,290.00	\$744,279.00	\$160,184.00
Iowa	\$459,922.00	Des Moines	\$258,145.00	\$909,591.00	\$195,241.00
Kansas	\$919,844.00	Kansas City/Wichita	\$516,290.00	\$880,049.00	\$188,806.00
South Dakota	NA	NA	NA	\$610,881.00	\$131,651.00
Colorado	\$1,379,766.00	Aurora/Colorado Springs/Denver	\$774,435.00	\$1,130,748.00	\$244,560.00
Total of All States	\$57,030,328.00		\$32,010,000.00	\$67,485,208.00	\$14,550,000.00

Appendix 6

	Southeast	South Central	East Central	Northeast	Panhandle	North Central	Southwest	UASI	State Agencies
Communications Distribution	522,803.00	403,310.00	329,683.00	328,476.00	294,680.00	278,989.00	256,056.00		
MOU	25,000.00	75,000.00	25,000.00	25,000.00	25,000.00	25,000.00	25,000.00	50,000.00	
Planning & Training	50,000.00	50,000.00	50,000.00	50,000.00	50,000.00	50,000.00	50,000.00	42,000.00	
NEMA									550,000.00
Dept. of Agriculture									90,000.00
State Fire Marshal									71,000.00
University of Nebraska									53,000.00
Homeland Security Grant Distribution	597,803.00	528,310.00	404,683.00	403,476.00	369,680.00	328,989.00	331,056.00	92,000.00	764,000.00
Population	417,710	244,722	136,584	134,831	85,558	64,178	29,132	646,072	
Per Person	\$1.43	\$2.16	\$2.96	\$2.99	\$4.32	\$5.13	\$11.36	\$0.14	
MMRS	258,145.00							258,145.00	
2005 UASI Grant								\$5,148,300.00	
Adjusted for MMRS & UASI	\$2.05							\$8.11	

OBJECTIVES/PHILOSOPHY

The Certified Emergency Manager® (CEM®) program was created to raise and maintain professional standards; it is a program to certify achievements within the profession. Any emergency management professional who meets requirements is welcome to participate.

CERTIFICATION COMMISSION STRUCTURE

The program is served by a Certification Commission made up of emergency management professionals, including representatives from allied fields, educators, military, and private industry emergency personnel.

Development of the program has been supported by the Federal Emergency Management

Agency (FEMA), the National Emergency Management Association (NEMA), and a host of allied organizations.

Certification is a peer review process administered through the International Association of Emergency Managers. You need not be a member of IAEM to be certified.

CERTIFICATION IS MAINTAINED IN 5-YEAR CYCLES:

CEM's maintain certification documenting 100 hours continuing education/training and six professional contributions every five years.

PROGRAM PROCESS

To register for certification consideration, candidates must complete an enrollment process -

COMPLETE PROGRAM REQUIREMENTS

Emergency Management Experience*

Three years by date of application. *Comprehensive* experience must include participation in a full-scale exercise or actual disaster.

Three References

Including current supervisor.

Education

Any 4-year baccalaureate degree; or additional experience may be substituted to satisfy this requirement, 2 years per 30 college credits up to the 120 credits comprising most baccalaureates.

Professionals interested in recognition without the educa-

tion requirement should inquire about the Associate Emergency Manager (AEM) Credential.

Training*

100 contact hours in emergency management AND 100 contact hours in general management. (Note: No more than 25% of hours can be in any one topic.)

Contributions to the Profession

Six separate contributions in areas such as professional membership, speaking, publishing articles, serving on volunteer boards or committees and other areas beyond the

scope of the Emergency Management job requirements.

Management Essay

Real-life scenarios are provided and response must demonstrate knowledges, skills and abilities as listed in the essay instructions.

Multiple-choice Examination

Candidates sit for the 100-question exam after their initial application and the other requirements are satisfied. A pamphlet is available further describing format and sources.

**Note: A baccalaureate in emergency management eliminates the experience requirement for the AEM and waives EM Training if it is earned recently.*